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The Role of IT and Records Managers in Managing Electronic Documents and Records

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Montana

Agenda

- A record by any other name…
- RM vs. IT: The way the world looks
- RM and IT: Partnering for success
- Recommendations for bridging the gap

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A record by any other name…

- Record
- Document
- Archive
- Email management
- Records management

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Record

- RM: information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business

- IT: A group of related fields that store data about a subject (master record) or activity (transaction record). A collection of records make up a file.

Source: TechEncyclopedia.com

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State of MT definition for “public record”

(a) "Public records" includes:

(i) any paper, correspondence, form, book, photograph, microfilm, magnetic tape, computer storage media, map, drawing, or other document, including copies of the record required by law to be kept as part of the official record, regardless of physical form or characteristics, that:

(A) has been made or received by a state agency to document the transaction of official business;

(B) is a public writing of a state agency pursuant to 2-6-101(2)(a); and

(C) is designated by the state records committee for retention pursuant to this part; and

(ii) all other records or documents required by law to be filed with or kept by any agency of the state of Montana.

(b) The term includes electronic mail sent or received in connection with the transaction of official business.

Source: MCA-2-6-202

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Document

- RM: recorded information or object which can be treated as a unit
- All records are documents, but not all documents are records

- IT: The individual electronic objects on servers, workstations, and laptops, such as PDF, Word, etc.

Archive

- RM: The documents created or received and accumulated by a person or organization in the course of the conduct of affairs, and preserved because of their continuing value.
- The building or part of a building in which archives are preserved and made available for consultation; also referred to as an archival repository.

- IT: Offline or backup storage, e.g. to tape or optical media
- Might include offsite storage of backup media

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Email management

RM:

- Email messages must be managed according to content - & therefore declared as records
- Which may mean print & file today

IT:

- Sets up and ensures access to inboxes
- Manages storage & access control
- Backups & availability

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Records management

- RM: field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records

- IT: Keeping the systems running, available, and backed up

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Records Management vs. Information Technology:

The way the world looks

RM vs. IT: the way the world looks

- Electronic records are not managed the same way, or as effectively, as analog
- IT plays the dominant role in electronic records projects
- Records managers are losing their influence as electronic RM emerges – while the role of IT in these initiatives is increasing.

The Role of Electronic Records Management in North American Organizations, Forrester Research, 2004

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Electronic records management

- 61% IS/IT responsible for day-to-day management of electronic records
- 70% do not believe IS/IT understands lifecycle of electronic records
- 43% do not believe their IS/IT staff realizes the need to migrate electronic records to comply with retention policies

Electronic Records Management Survey: A Renewed Call to Action , Cohasset Associates, 2005.

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Electronic records management cont'd

- 99% believe process will be important to future litigation
- 49% not confident they can demonstrate accuracy of ERM processes later
- Who owns retention policies for archives and backups:
  - RM: 32%
  - IT: 39%

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RM vs. IT cont'd

Records Managers	IT Professionals
Manage records	Manage data and systems
Own records	Own systems and information on them
Delete records based on retention	Delete data - or not - based on storage requirements
Analog	Digital
Why	How

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RM vs. IT cont'd

Records Managers	IT Professionals
Don't understand the sheer volumes of electronic information	Don't understand regulatory requirements and storage implications
Don't understand the complexities of systems or how the technologies work	Underestimate the relationship between content and presentation
Long(!)-term focus	Fire-fighting
Focused on process flows	Ensures the flow of data

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RM vs. IT cont'd

Records Managers	IT Professionals
Reports to admin, legal, IT(!)	Reports to executive management, admin, ops
Never have any budget	Never have enough budget
Have very deep knowledge – on esoteric topics	Have widely diverging breadth & depth of knowledge
Don't trust IT	Think RM is a burden

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RM vs. IT cont'd

Records Managers	IT Professionals
Don't trust users	Don't trust users
Speak odd language	Speak odd language
Offices separated from rest of organization	Offices separated from rest of organization
Work thankless jobs	Work thankless jobs
Focused on risk management	Focused on risk management

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Key concerns for both RM and IT

- Providing efficient access to information
  - Versions
  - Silos
- Containing costs
- Providing effective response to audit or litigation
- Ensuring integrity of electronic records
  - Now and in the future

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The bottom line

- Both RM and IT manage information for the organization
- When RM and IT aren’t on the same page, bad things happen
  - Worldcom
  - Morgan Stanley
  - And any number of operational challenges
- The increasingly electronic world means RM and IT must collaborate effectively!

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Records Management and Information Technology:

Partnering for Success

Records processes and IT systems

- General principles
- Inventory
- Classification
- Storage and preservation
- Disposition

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General principals

- It is difficult to “bolt on” records management to an existing solution
  - Different repositories
  - Different taxonomies
  - Different granularity of access controls
- More effective to gather and define requirements early enough to build records processes into IT systems
  - Or select systems that can do it already
  - TANSTAAMB

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Inventory

- What do you have?
  - Paper vs. electronic
  - Record vs. nonrecord vs. data
  - Specifics
- Where is it?
  - Records center
  - Data center/servers
  - Decentralized/desktop
  - Group storage
- This MUST be a joint effort!

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Taxonomy and classification

- RM cannot declare and classify all records manually
- Users won’t classify if it’s difficult or time-consuming
- Automated classification tools can help
- Streamline the taxonomy and classification

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Taxonomy and classification cont'd

- RM: creates the taxonomy and the classification scheme
- IT creates workflow around the classification scheme
- IT ties classification scheme to retention rules
  - ERMS
- RM and IT review and iterate through the rules

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Storage and preservation

- Electronic records are fragile
  - Media
  - Hardware
  - Software
  - Content, structure, context
- Some compliance regimes require certain types of storage
- Many records have to be accessible for 5, 50, 500 years

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Storage and preservation cont'd

- Records managers know the retention requirements
  - Including those records that must be maintained in analog format
  - Longevity requirements
- IT can translate to technology requirements
  - Systems, configurations

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Storage and preservation cont'd

- Records kept longer than 5-10 years will need to be migrated
  - From older systems to newer ones
  - From older or proprietary formats to newer, more standardized ones
  - From older media to newer ones
- Migrations need to be verified
- IT has tools to assist with both of these
- RM and IT standards
- Encryption and passwords

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Why disposition?

- The more stuff on the network and in systems, the more to back up
- And the more to restore
- And the more to review and produce in response to audit or litigation
- And the worse IT systems perform
- IT's historical approaches:
  - Quotas
  - Buy more storage
  - "Archive" to backup media
  - Purge

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Disposition

- Records should be disposed of at the end of the records lifecycle
- Deleting an electronic record doesn't always delete it
  - Pointers
  - Temp directories
  - Multiple copies on the network
  - Multiple renditions
  - Backups
  - Email as filing cabinet

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Collaborative approach to disposition

- Records puts the framework into place
  - Retention schedule
- IT can automate the disposition process
  - But systems need to include failsafes and capability to place and lift legal holds
- Once RM identifies the records to be disposed of, IT disposes of them
  - Unrecoverably
- A note on backups

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When disposition isn’t an option

- Some records must be kept permanently
- Others must be kept for a *really* long time
- Legal holds put a halt on disposition
  - Backup cycling
  - Server logs
  - Email systems
- RM and legal identify the what, IT the how

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Recommendations for bridging the gap

General recommendations

- Establish cross-functional teams to create policies, address issues
  - IT
  - RM
  - Legal
  - Business (LOB managers, executive team)
- Identify business and technical requirements
- Iterate through key deliverables
- Change management!

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Recommendations for IT

- Learn the basics of records management
- Understand and apply lifecycle management practices to electronic records and systems
- Ensure that hold orders are applied to all applicable systems, documents, data, backups
- Ensure that information is destroyed at the end of its lifecycle

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Recommendations for IT cont'd

- Work with RM to identify migration issues and requirements for electronic records
- Hold backup media only as long as required for disaster recovery purposes
- Identify tools for automating records processes
  - Classification and categorization
- Look for systems that include required recordkeeping functions as identified by RM

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Recommendations for RM

- Reach out to IT proactively
- Add records requirements to IT's RFPs
- Work with IT to set system configurations
- Review classification scheme and retention schedule with IT
  - In particular for IT-unique records
- Be flexible
  - It can't all be done today
  - Beware of "Chicken Little" syndrome

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Recommendations for RM cont'd

- Learn about technologies and their impact on the records program and practices
  - Imaging (CompTIA CDIA+, AIIM)
  - Storage (SNIA)
  - Email
- Scan the records & technology horizons
  - Automatic classification & categorization
  - Electronic records management
  - Digital rights management

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Questions?

Thank you!

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State of MT resources

- E-mail Guidelines
  http://sos.mt.gov/RMB/forms/MT_Email_Guidelines_06.pdf
  http://itsd.mt.gov/policy/policies/entnet042.asp
- State of Montana Records Management Bureau
  http://sos.mt.gov/rmb/
- RM Glossary: http://sos.mt.gov/rmb/Glossary.asp
- IT Glossary:
  http://itsd.mt.gov/policy/policies/Statewide_IT_Policies_and_Standards_Glossary.pdf

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Other resources

- The Sedona Conference
  http://www.thesedonaconference.org
- The Storage Networking Industry Association
  http://www.snia.org
- ARMA International
  http://www.arma.org
- AIIM International
  http://www.aiim.org

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Other resources cont'd

- US National Archives

  http://www.archives.gov
- National Association of Government Archives and Records Administrators (NAGARA)

  http://www.nagara.org
- Cohasset Associates

  http://www.cohasset.com

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